



Work Plan Guide

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Revision History

Revision Number	Revision Date	Summary of Changes	Author
2	6/16/2020	Non-key personnel updates; training work plan development; on-call work plan modifications	Nikki Bowser Takiyah Worthy Jessica Yurcheshen
3	9/3/2021	Comprehensive update to reflect migration from TA Portal to DRGR, including mandatory data fields; address the need to implement surveys for certain work plan types; and reduce duplicative instructions	Nikki Bowser Makeda Byrd Jeff Hunt

Approvals

This document requires the following approvals:

Name	Title
Stephanie Stone	Technical Assistance Division Director

Purpose, Scope, and Structure

The work plan guide clarifies the requirements in the cooperative agreement and satisfy the Department’s requirement for internal controls to reduce mismanagement of federal funds and manage risks associated with administration of the award.

This guide describes standard procedures for developing different types of technical assistance (TA) work plans, which align with Eligible Activities in the Community Compass and other TA Notices of Funding Opportunity (NOFOs) linked to Catalog of Federal Domestic Assistance (CFDA) 14.259. There are no significant differences across different funding years of cooperative agreements that warrant one procedure for each year. This document will note any future cooperative agreements that include significant differences. The guidance on how TA Award Recipients (Recipients) develop work plans will ensure that the work plan approval process is efficient and able to serve HUD customers and grantees in a timely manner.

This guide is based on, but does not supplant, guidance previously issued in 2 C.F.R. §200, the Community Compass Cooperative Agreement Provisions, OMB Circular No. A-11, Community Compass Learning Objectives guidance, and the DRGR User Manual.

Definitions

Capacity Building—Assistance which increases the ability of HUD's customers and their partners to organize, independently implement, and manage affordable housing, community development, and economic development programs.

Conditional Approval—When HUD has determined that there are minor requirements that have not been met, and the unmet requirements do not prevent success of the TA engagement. The status in the Disaster Recovery Grant Reporting (DRGR) system for a work plan will be approved, but it is the responsibility of the Recipient to review the approval comments for the conditions that need to be met. The GTR must follow up within 15 days to ensure minor requirements are met. Full approval is contingent upon the Recipient taking action to meet all requirements.

Conference—A meeting, retreat, seminar, symposium, workshop, or event whose primary purpose is the dissemination of technical information beyond the non-Federal entity and is necessary and reasonable for successful performance under the Federal award.

Cooperative Agreement Officer (CAO)—Responsible for the management and fiscal oversight of the cooperative agreement awards.

Customers—Recipients of HUD funding, including state and local grantees, public housing authorities (PHAs), owners and managers of HUD-assisted housing, Continuum of Care organizations (CoCs), non-profit grantees, Homeless Management Information System (HMIS) Leads, HUD-approved housing counseling agencies and counselors, tribal organizations, Indian tribes, tribally-designated housing entities (TDHEs), FHA-approved multifamily lenders, and residents and participants in HUD-funded programs.

Equipment—Tangible personal property (including information technology systems) having a useful life of more than one year and a per-unit acquisition cost which equals or exceeds the lesser of the capitalization level established by the non-Federal entity for financial statement purposes, or \$5,000.

Government Technical Monitor (GTM)—As defined by HUD, the individual designated to provide technical monitoring, advice, and assistance to aid the Government Technical Representative (GTR) in the technical direction and evaluation of a successful applicant's performance. The GTM provides programmatic expertise and input to proposed TA work plans, quarterly status reports, invoices, and reviews and approves products. In some offices, the Program Office Technical Assistance Coordinator (POTAC) for a TA provider fulfills this role rather than a GTM.

Government Technical Representative (GTR)—As defined by HUD, the individual who is responsible for the technical direction and evaluation of a successful applicant's performance. The GTR is responsible for review and approval of work plans, quarterly performance and financial reports, and vouchers. GTRs serve as representatives of the Cooperative Agreement Officer who has responsibility for the management and fiscal oversight of the cooperative agreement awards.

Key Personnel—Considered to be essential to the work being performed under the agreement and per work plan.

Learning Objectives—Statements that define the expected goal(s) of a product, curriculum, or training, and describe the skills or knowledge participants are expected to gain.

Milestone—A scheduled event signifying the completion of a major deliverable or a phase of work.

Non-Key Personnel—Staff whose contribution is not directly linked to the success of TA delivery, products and/or tools.

Outcomes—Results achieved, or benefits derived from TA or capacity building, such as changes in a customer's management or operation of HUD-funded programs and activities.

Outputs—Deliverables such as products and group learning opportunities that are usually quantified by number produced, number delivered, number of attendees, etc. Outputs do not measure a change in a customer's capacity or capabilities.

Performance Measures—specific program indicators defined by HUD to measure progress on program goals.

Personnel—Employees of the Recipient, or any contractor(s), team members, and consultants engaged by any of those entities.

Program Office Technical Assistance Coordinator (POTAC)—The individual who coordinates TA activities for the programs within an office. The POTAC provides technical monitoring, advice, and assistance to aid the GTR in the technical direction and evaluation of a successful applicant's performance. In some offices, a GTM fulfills this role rather than a POTAC.

TA Award Recipient—The Recipient of a Community Compass award; all awards are Cooperative Agreements.

Work Plan—A project implementation and service delivery plan under which the Recipient provides eligible TA or capacity building services to one or more HUD customers. A work plan serves as the agreement between HUD and the Recipient, for the provision of TA services, and the Recipient’s formal response to a TA assignment from HUD.

Work Plan Lead—The person who will lead the design and implementation of the work plan and monitor compliance with this agreement.

Roles and Work Plan Approval Process

A work plan describes the Recipient’s design to deploy and deliver TA and resolve knowledge and capacity gaps and deficiencies of HUD customers. The plan contains an overview of the gaps/deficiencies to resolve, a brief description of the major tasks involved in the service delivery, the overall resources needed to support the effort (such as personnel, materials, travel, facilities, equipment), the direct and indirect costs of resources, HUD’s role in the delivery of services, the expected outcomes and deliverables, and any customer-specific requirements.

The Recipient is responsible for designing a work plan in collaboration with HUD. The design phase occurs after the Recipient receives an assignment through DRGR. Authorized Assigners will include designated GTRs, POTACs, or GTMs. For more information on assignments, see Attachment 2: What Is and Isn’t TA.

Once a work plan or work plan amendment is submitted to HUD, the GTM or POTAC will review, if appropriate, in consultation with HUD Subject Matter Experts (SMEs) and/or field office representatives. The GTM or POTAC will provide written recommendation via DRGR to the GTR regarding TA work plan or amendment approval. Once a work plan or amendment is approved by the GTR, the GTM or the POTAC may not provide direction to the Recipient outside of the scope of the approved work plan. Other than costs to develop a work plan, the Recipient may not incur costs pursuant to a work plan until the work plan has been approved by the GTR or CAO. Below are core responsibilities of TA Award Recipients, GTMs/POTACs, and GTRs regarding review of work plans.

GTM and GTRs may have overlapping responsibilities that occur simultaneously for quality reviews. The primary difference is that GTRs are responsible for the technical direction and evaluation of a successful TA Award Recipient's performance, whereas GTMs/POTACs provide programmatic expertise and input. GTRs serve as representatives of the CAO, who has responsibility for the management and fiscal oversight of the cooperative agreement awards.

TA Award Recipient Responsibilities

- Once a TA Assignment is received, schedules a call or meeting with the GTM/POTAC, GTR, HUD SMEs, and any other person listed in the assignment.
- In collaboration with HUD, drafts and submits a work plan in DRGR.
- Provides TA once the work plan has been approved by the GTR or CAO in DRGR.

GTM/POTAC Responsibilities

- In collaboration with the Recipient and HUD SMEs and/or field offices representatives, GTM/POTAC will provide substantial input in the planning and implementation of work plans.
- Reviews the work plan to ensure:
 - Scope aligns with TA assignment and milestone(s) have been identified.
 - Tasks are eligible as defined in the NOFO and within scope.
 - Tasks are clearly defined and include outputs.
 - Labor mix (i.e., personnel and hours) is appropriate for level of effort.
 - Number and type of tasks and activities proposed are appropriate for the scope.
 - Number of trips and type of travel proposed are appropriate for the scope.
- Follows up directly with the Recipient to address any problems or questions associated with the work plan. Consults with and keeps the GTR informed.
- Provides written recommendation on work plan approval or amendments in DRGR.
- Keeps the GTR apprised of the status of the work plan, including product reviews and need for changes in scope of work, timing, or budget.
- Participates in the acceptance and publication of TA work products and materials to make them available to appropriate stakeholders.

GTR Responsibilities

- Assists the GTM in managing the work plan development process, if needed.
- Reviews the work plan after GTM recommends approval to ensure personnel, time, and costs are reasonable, eligible, and allocable.
- When reviewing work plans, identifies any assumptions, and requests clarification on any unclear work plan details.
- Works with the GTM and Recipient to resolve any problems or questions associated with the work plan.
- Monitors the Recipient's overall award performance, including progress against the signed cooperative agreement and the Recipient's approved work plan, and assists in addressing performance problems.
- Serves as official authorizing representative in approving/rejecting work plans and work plan amendments.
- Ensures administrative procedures identified in the Community Compass Provisions are followed.
- Liaison between HUD Program Office and TA Award Recipient.
- Ensures that Recipients include survey implementation as part of the Scope for training delivery and direct TA engagements – see [Community Compass guidance page](#) for survey requirements.

The Approval Process

Work Plan approval process except for Administration and Coordination Work Plans:

1. HUD assigns work to Recipient via DRGR
2. Recipient, GTR, GTM, and as appropriate, SMEs and FO, meet to discuss assignment and work plan development
- ◇ Optional: GTM reviews draft work plan in consultation with HUD SMEs and/or Field Office Representatives and provides verbal or written feedback to Recipient
3. Recipient drafts and submits work plan in DRGR
4. GTM/POTAC reviews work plan in consultation with HUD SMEs and/or Field Office Representatives and provides feedback and/or recommends approval in DRGR within 15 days of submission. The GTR may elevate the work plan to the program office manager if feedback is not provided within the 15-day review period.

5. GTR reviews work plan and requests revisions and/or approves in DRGR within 30 days of submission
6. TA begins

The approval process for Administration and Coordination work plans includes only steps 3 and 5 above.

Important Notes

Below are important notes that apply to all work plans.

- This guide must be used with other materials referenced. This guide does not comprise the full requirements of the cooperative agreement.
- HUD’s official review timeframe for a work plan begins when it is submitted in DRGR.
- Refer to the most current DRGR User Manual for specific system instructions related to work plan submissions.

Procedure for Developing Administration and Coordination Work Plans

As stated in the Community Compass NOFO, Administration Work Plans cover administrative activities directly associated with overall award management and execution; Coordination Work Plans cover services related to coordinating TA with other Recipients and planning TA engagements. The costs associated with these work plans are not chargeable or easily traceable to any specific TA service work plan. These work plans do not require POTAC/GTM recommendation for approval because the scope and activities are not program specific.

HUD has developed examples for allowable costs, scope, and task for both Administration and Coordination Work Plans. Recipients should develop and submit Administration and Coordination Work Plans that consider these examples along with the available funds for each of these work plans and the Recipient’s organizational structure.

Example Administration Work Plan Activities:

Recipient will administer the Community Compass TA grant, including activities such as:

- Develop and submit work plans to the HUD GTR outlining the specific TA to be undertaken and the intended accomplishments of that TA, if not charged to a specific work plan.
- Make assignments to staff and subcontractors on products approved by HUD to be developed or delivered under a work plan, if not charged to a specific work plan.
- Review the overall progress of the cooperative agreement spending and products. This will include managing product timelines and quality.
- Meet with HUD to provide periodic updates on grant management, product status and timelines. Travel may be required if requested by HUD.
- Develop and provide invoices to HUD.
- Set up and enter project, accomplishment and draw information into the DRGR system.
- Develop and submit quarterly performance and financial reports via the DRGR system.
- Conduct written evaluations of the effectiveness and accomplishments of TA, workshop, written and web/technology products.
- Program audits or financial statement audits (portion associated with this award, if not included in indirect cost rate (ICR) agreement).
- Costs associated with ICR adjustment calculations (portion associated with the award, if not included in ICR agreement).
- Award management software and tools (portion associated with the award, if not included in ICR agreement).
- Pre-award costs (if pre-award approval letter was issued by Cooperative Agreement Officer).
- Prepare and submit documentation for in-person or remote monitoring or desk audits.

Example Coordination Work Plan Activities:

TA Award Recipient will coordinate with HUD and other TA Award Recipients as assigned by HUD. These activities are expected to include the following:

- Participate in regular meetings with HUD and TA Award Recipients to plan TA products and schedules, including scoping conversations before a TA assignment is made.
- Participate in additional meetings and training sessions as needed with HUD and TA Award Recipients. Meetings may be conducted in person or via telephone or web conferences.
- Participate in work group meetings and activities.
- Coordinate with other TA Award Recipients to develop workshop materials, written products, and web/technology tools.
- Provide peer review of materials developed by work groups and TA Award Recipients, to include workshop material, written products, and web/technology tools.
- Coordinate with HUD Field Offices to plan and conduct needs assessments, TA, workshops, or other tasks to be accomplished in a certain region.
- Coordinate with other TA Award Recipients to plan and conduct needs assessments and TA as assigned.
- Share information with HUD and other TA Award Recipients on previous experience working with specific grantees or grantee partners.
- Communications platforms, software, and services, such as Adobe Connect (include portion associated with the award if not included in ICR)

For Travel: HUD may request the Recipient to travel for in-person meetings directly related to administration or coordination of the award. The TA Institute training is one example that needs to be included in the budget. Therefore, Recipients should consider anticipated travel when determining period of performance and budget.

Recipients are required to submit Administration and Coordination Work Plans in the DRGR system using the **Procedures for Developing a Work Plan** below. The following procedures are organized by the specific requirements from the Community Compass Provisions.

Note for Administration/Coordination:

Performance-related fields such as outcomes and HUD strategic goals are not required for Administration or Coordination work plans.

Procedures for Developing a TA Work Plan

The Recipient develops at least one work plan in response to an assignment from HUD. Each work plan must be associated to an assignment *except for* Administration and Coordination. The assignment will identify the TA need(s) and what the TA should accomplish. The Recipient’s work plan scope and tasks will address the plan of action to satisfy the need(s) identified at the time of assignment.

The Basics

- **Include an Award #:** The award number should match one of the cooperative agreement numbers determined by HUD to be most appropriate for the assignment. The Recipient may select a different cooperative agreement, but both the GTM/POTAC and GTR must approve prior to work plan submission. If approved to use a different cooperative agreement, the Recipient must attach the written approval as supporting documentation to the work plan.
- **Project Title** must align with the **Scope** and the **Project Budget** in DRGR.
- Select a **Work Plan Type**. The TA type identified at the time of assignment, will determine the type of work plan. If the scoping discussions with HUD lead to a determination that another TA Type is more appropriate, the Recipient and GTM should notify the Assigner, who can edit the TA assignment. This should be changed prior to work plan submission but may occur after work plan submission with proper justification. The type of work plan should consider the eligible activities identified in the respective NOFA/NOFO year of the award.

Note for Work Plan Type:

- **Training work plans** that *require* curriculum design and delivery should be separated across two work plans: one for product development and one for training delivery. Other trainings that are not part of a large-scale curriculum design are not required to separate work plans, unless the TA assignment language explicitly requests it.
 - Use **TA Developing Workshop Materials** when developing materials for group learning sessions, unless HUD specifies otherwise.
 - Use **TA Written Products** if the products will be used outside of the training as well.
 - TA products must include an acknowledgement/disclaimer (see Provisions) and may include the HUD logo, provided that the GTR or GTM gives written permission to do so.
- **Work Plan Name:** Recipient should name all work plans using the following naming convention that describes the TA assignment:
 - (Unique Identifier)-(TA Type)-(Phase/POP)
 - **Example:** Homelessness Products-Product Development-03/01/18-08/31/18
 - For **TA Work Plan Number** (open text), use the numbering convention below:
 - [3-4 letters of Recipient's name or acronym]-[letter(s) that matches the starting letter of the award number/Funding Source Code]-[last 2 digits of the year associated with the cooperative agreement]-[3 digits that represent the consecutive work plan number] [(optional descriptor)]
 - **Example:** ECP-C-14-015 (AAQ)
 - For Award Recipients that use an additional number from their financial management system, you may add that number parenthetically after the optional descriptor.
 - **Example:** ECP-C-14-015 (AAQ)(1234)
 - For **Period of Performance**, include a start date that matches the date the TA was assigned or a later date to allow for billable project management activities and an end date that is within 90 days of the date of TA completion to allow for capturing of trailing costs and final reporting. The period must fall within the period of performance of the cooperative agreement unless a pre-award letter was issued. Selecting a period of performance is not an arbitrary timeline, but should factor in some of the following conditions:
 - Level of HUD involvement
 - Input from the POTAC/GTM
 - Complexity of the work assigned
 - **Associate Work Plans:** If the work plan is associated with any other work plan in DRGR or if the Recipient is working in collaboration with another Recipient for the TA assignment, Recipients should associate the new work plan with one already in the system. The assignment may identify other work plans that should be associated to the new work plan.

The Plan/Proposal

Begin with the Scope, which should support the background and overview of the associated assignment. Consider the objective(s) and requirement(s) needed for a successful TA engagement, as they will determine the various task(s) necessary to satisfy the performance measurements.

- For **Scope**, include:
- A summary of the need or capacity gap(s), TA request, and assignment from HUD. Summary should consider the TA eligible activities (see Attachment 1: Community Compass Eligible Activities), focus areas, and program topics in the NOFO.
- HUD program(s) for which assistance is being planned, if applicable.
- If applicable, a description of past and current TA provided to the HUD customer or audience, and how the new effort will change or expand current or past efforts.
- A brief description of the proposed TA, including TA design, assumptions related to the work plan design and outcome, and identification of any proposed training, direct TA, and/or pass-through funds, as applicable.
- A description of how equipping HUD customers with the knowledge, skills, tools, capacity, and systems to implement HUD programs/policies successfully—i.e., increase capacity of grantee

to be able to write their own policies and strategic plans, and resolve their own monitoring issues.

- A description of how the Recipient will coordinate the proposed assistance with the delivery of other TA provided by others, if known and if practicable.
- A description of the site or location to be used in the delivery of TA, if applicable.

Note for Scope:

- **For Needs Assessment, Direct TA (Including On-Call and Regional Outreach), and Training Delivery Work Plans:** Include language in the Scope that acknowledges that the Recipient will implement a survey. The type of survey generated is based on the type of TA engagement. Training work plans use the Learning Objectives to develop the survey. Needs Assessment and Direct TA work plans use the identified Outcomes to produce the survey.
- Recipients working on a collaborative TA effort should always include information indicating which Recipient organization should initiate a survey for each aspect of the TA engagement. When a Lead TA Award Recipient is assigned, the Lead is responsible for developing a strategy specifying which TA Award Recipient will initiate a survey for which customers, and which HUD outcomes and outcome descriptions will be related to those tasks. When no Lead TA Award Recipient is assigned, the collaborating Recipients must coordinate and agree upon which firms will have responsibility for initiating a survey for various customers or tasks.

- **Strategic Goals:** Identify which goal(s) from the *HUD Strategic Plan* in place **at the time of the TA assignment**. At least one goal from the latest *HUD Strategic Plan* is required; and, if applicable, at least one theme from the *Federal Strategic Plan to Prevent and End Homelessness*.
- Under **TA Work Plan Milestones**, ensure that the work plan has at least one milestone for the work plan. The milestone should include a title and description of the schedule or plan for delivering the assistance. Check that the **Expected Date** is reasonable and falls within the **Period of Performance**.
- **Tasks** are achievable activities that address the TA needs as identified by the TA assignment from HUD and are consistent with **Scope**. Tasks are actions that will improve the HUD grantee's performance.

Each **task** must include:

- A descriptive **Task Name**. In general, the first one or two tasks on a work plan should be the project management and coordination tasks. This includes the activities related to designing, coordinating, and administering the award requirements for the work plan.

Note for Product Development Work Plans:

During emergency response situations (e.g. disasters, public health crises) and at the direction of HUD, Product Development Work Plans may have general tasks, such as development of product #3 when the type of product is unknown at the time of work plan development. The task(s) must be updated as modifications once more detailed directions are given by HUD. Updates to a task may be submitted as a modification as long as the updates do not include a change requiring a prior approval, such as a change in Scope or Period of Performance.

Note for On-Call Work Plans:

There are two ways to structure on-call work plans:

- 1. One task for one TA need – all HUD grantees/customers receive the same TA activity (e.g., IDIS on-call work plan)
 - a. HUD grantees added as Organizations Assisted in DRGR, all associated with one task
 - b. Same scope, outcome, and survey for all grantees
- 2. Multiple tasks for multiple TA needs – each TA need should be named as a task. Program offices may prefer multiple tasks for more detailed tracking and reporting.
 - a. Separate tasks with distinct narratives, outcomes, and surveys
 - b. HUD grantees should be associated with the applicable task(s) that meet their need(s)

<u>Example with one TA need</u>	<u>Example with multiple TA needs</u>
Task 1. Work Plan Admin	Task 1. Work Plan Admin
Task 2. Assisting grantees with athletic skills – Anytown, Smallville, Gotham City, Busytown, Emerald City, Acme Acres, Atlantis, more TBD	Task 2. Assisting grantees with athletic skills – Anytown, Smallville, Emerald City, more TBD
	Task 3. Assisting grantees with artistic skills – Smallville, Gotham City, Acme Acres, more TBD
	Task 4. Assisting grantees with computer skills – Anytown, Gotham City, Atlantis, more TBD

Expected outcomes for each task should be added during work plan development.

Each on-call assignment typically averages between 8-16 hours over a period of less than 90 days. However, with GTM approval, the Recipient can assist one grantee up to 32 hours. The Assigner consults with the program office, with field office input as appropriate, to determine the need of the HUD customer, and should be judicious in matching the hours to the identified need. Recipients may request additional hours in consultation with the field office or program office with an email justification. The program office may approve additional hours, up to 32 hours total for one grantee under on-call. If that is not sufficient, it may be escalated for review and consideration as a full direct TA assignment by the program office, in consultation with the field office. This would require a new Direct TA assignment and work plan, and may require additional review and approval by the Program Office Review Committee or other program office approver.

Recipients should be mindful that ongoing on-call TA work plans may require extensions to keep them current and ensure that TA can rapidly address organizations’ needs for short-term, limited assistance. Recipients should notify the GTR when remaining funding is not sufficient to support 32 hours of TA (approximately two assignments).

- A **Start Date** and **End Date** that falls within the **Period of Performance**.
- An **Estimated Budget** that includes the sum of direct and indirect costs related to the task to be performed. The **Total Estimated Budget** is based on the sum of **Estimated Budgets** for each **Task**.

Note for Estimated Budget:

The Other Budget Line Items (OBLI) *plus* the Labor Budget *cannot* be more than the total of the Estimated Budget, which is the sum of the tasks.

- **Labor Category(ies)** and Personnel with estimated **# Hours** for each. Identify key personnel associated to the tasks.
- If applicable, include a **Travel Budget** per task(s).
- For **Topics**, select all applicable topics. At least 1 selection required.
- For **Outputs**, a **Title**, **Estimated Completion Date**, and **Output Description**. Each task must have at least 1 **Output** that facilitates progress monitoring. The output is a result from carrying out the task.

- For the **Task Description/Narrative** of each task, add clearly defined eligible activities (see Attachment 1: Community Compass Eligible Activities) including:
 - Any work products that will be produced/used in the delivery of the assistance and schedule with dates to draft and complete products.
 - Any planned site visits or meetings with the targeted HUD customer(s), HUD field office staff, and HQ staff including who is going, reason for travel, and number of trips, if applicable.
 - Quantity, type, topic, duration, and location of workshops/sessions.
 - Training dates or the person at HUD that will be communicating the confirmed dates with the Recipient.
 - If the assistance will be delivered jointly with other Recipients, the personnel and the respective roles and responsibilities of each of the involved Recipients.

Note for Task Narratives:

For all in-person and on-line trainings and conferences sponsored by HUD: Use of the Learning Management System (LMS) on the HUD Exchange for registration and managing participants is required. In addition, Recipients must enter information about attendees at in-person training/group learning sessions in the LMS as this information is reported to Congress. Ensure plan includes coordination activities with manager of HUD platform. To receive an exception from this requirement, the program office will need to receive CAO approval, and include the approval as supporting documentation.

Examples of Exceptions:

- Trainings or conferences at HUD HQ because of the need to collect security information upon registration
- The Office of Native American Programs (ONAP) does not use LMS for online trainings

Recipients should work with the POTAC/GTM and GTR to determine whether LMS will be used.

Work Products: Work products will be made publicly available via postings on HUD Exchange, or in a manner and location determined by HUD. If the product or training will be posted on HUD Exchange, Recipient must schedule a kick-off discussion with manager of HUD platform before developing products and online trainings to ensure compatibility. In addition, the TA Award Recipient must budget in the work plan for making products 508 compliant, and for reviewing website posting options with manager of HUD platform and HUD.

For **Organizations Assisted**, add organizations for which TA is being provided and ensure that entity has been associated with program(s) included in the **Scope**, such as COC or CDBG. Recipients should refer to the assignment to determine if specific organizations to assist are listed, and if organizations are in the Scope, Recipients must add under the **Organizations Assisted** section of the work plan for each task.

Note for Organizations Assisted:

- If multiple organizations *with the same name* are listed in DRGR, be sure to add the organization that correlates to the relevant program and office that requested the TA.
- For work plans such as product development and training delivery with a broad range of organizations assisted, add the group of organizations associated with products and training, using the Organization Group option in DRGR. Add this information as the work plan is developed.

- **Supporting Documents:** Add any documents referenced in the TA assignment and work plan, such as non-disclosure certification or any relevant travel cost assumptions or justifications. Final deliverables and needs assessment reports should be attached as supporting documentation prior to closing the work plan. If the work plan entails attending a conference or training, or use of space, see information below.

Approvals for Event Requests and Use of Non-HUD Space Agreements: In accordance with HUD's Conference and Travel Requirements memorandum, dated September 14, 2016, all **HUD sponsored and non-HUD sponsored conferences or third-party travel on HUD's behalf** under active HUD TA cooperative

agreements will require the appropriate General Deputy Assistant Secretary (GDAS), Principal Deputy Assistant Secretary (PDAS), or Deputy Secretary (DEPSEC) approval.

Each HUD office has their own internal process for event request approvals. The GTM/POTAC is responsible for ensuring compliance with the program office’s established process. The GTM/POTAC should work with the Recipient to complete the event request package for applicable TA activities and facilitate its review, and subsequent approval, through their respective office leadership.

The GTM/POTAC should include language in the Assignment, Scope or Comments section indicating that the event request approval process has been considered and is underway.

Upon receipt of event approval from the appropriate HUD official, the GTM/POTAC should attach documentation in DRGR and notify the Recipient via email (copying the GTR) so they may proceed with associated activities. Please note: Reimbursement of event-related expenditures will not occur without attached proof of approval. The Recipient should include it as supporting documentation to the applicable voucher.

In addition, the use of non-HUD space and the accompanying space agreement for in-person trainings, conferences, and other HUD-sponsored events are subject to prior written approval from the appropriate HUD-approving official outside of the assigned GTR. The Recipient must provide a copy of the space agreement to the GTR prior to executing with a third party. The GTR should forward the agreement to the designated space agreement lead in TAD or Procurement & Contracts Service (PCS), facilitate communication between the Recipient and the HUD-approving official (i.e., designated TAD/PCS lead), and upon approval, notify the Recipient via e-mail and by adding comments in DRGR.

The items listed below are not permitted in space agreements:

- Insurance
- Indemnification clauses
- Attorney fees
- Dispute resolution or arbitration
- Guaranteed minimums
- Food or beverage

Work plans with pending event requests and/or space agreements may be conditionally approved prior to written approval. However, work plan approval does not constitute approval for the event(s) or use of space.

The Work Plan Budget

Note: The TA work plan requires Recipients to segregate the costs that make up the **total Estimated Budget** for the tasks. Costs must be segregated by direct labor/staff costs, other direct costs (including travel), and indirect costs.

1. **Proposed Staff** should include a mixture of key and non-key personnel that is appropriate to carry out the tasks associated with the work plan. All proposed staff should have an approved wage rate when adding them to the work plan.
 - The Recipient may add **Staff Types** that are pending approval, but only conditional approval of the work plan will be granted as all rates must be approved by the Wage Approval Group (WAG) before costs are incurred.
 - Enter the start date in the **From** field and the end date in the **To** field for the selected personnel. These dates must reflect the estimated start and end dates for the personnel and must be within the **Period of Performance** of the TA work plan.
 - In the **Hours** field, enter the hours associated with the **Staff**. Ensure Key Personnel have adequate hours to manage the work plan. High-rate individuals (\$200 or more per hour) should be used in specialized and complex areas of the TA assignments, while personnel with lower rates should perform administrative work.
 - Total staff costs calculated using rates and hours should not exceed the **Proposed Labor Budget Amount**.
 - The Proposed Labor Budget field entered *may be more* than the calculated sum amount listed under the breakdown of labor by staff rate and hours. Recipient may account for salary and/or cost of living increases in the Proposed Labor Budget field.

- For non-key personnel, Recipients may change **Staff Types** or **Staff** without requiring re-approval of the work plan in DRGR. Non-key personnel may be changed on a work plan without updating the work plan. However, HUD encourages the Recipient to add permanent non-key personnel changes when making other adjustments to the work plan later through modification or amendment.
- Identify the Point of Contact (POC) for the work plan when adding the proposed labor.

2. **Other Budget Line Item Costs (OBLI)** are required.

- Select the appropriate **OBLI** category. For example, the travel option should be selected for all travel-related costs. If a category option does not accurately describe the proposed cost, select “Other.”
- Each OBLI cost must have start and end dates that occur within the work plan **Period of Performance**.
- Include a **Description** and **Total**.
- Each **Budget Line Item** (e.g., communication, shipping, meeting space, supplies/materials, equipment/products) must include both a cost and a quantity (e.g., 2 webinar transcriptions at \$1,000 each), if applicable.
- Associate task(s) to the OBLI.

When considering non-labor and direct costs to include on a work plan, the Recipient should consider the following:

- Use HUD resources for space, audio, etc. instead of incurring costs for these resources.
- Ensure the cost is not included in your indirect cost rate agreement.
- Conduct research to ensure the most affordable option in the market.
- For G&A, Overhead, and Indirect Costs, **Description** must include the federally approved percentages, such as “G&A (19.2%)”.

For Equipment:

- Purchases must be made in accordance with 2 CFR 200.313.
- Requests to approve equipment must include the following information:
 1. Identify the type of equipment and indicate if this equipment is to be used for this project only or will be shared with other customers/clients.
 2. If the equipment will be shared with others, demonstrate that HUD is paying only its proportionate share of the cost and that the cost is not duplicated in Recipient’s indirect cost rate.
 3. Explain why there is no other equipment in the organization that is available for the work under this agreement.
 4. Address whether the equipment will be purchased on a competitive basis.
 5. Cover conditions for leasing of real property, if applicable.

For Travel:

Transportation and travel costs must be reasonable and not exceed the Federal Travel Regulations rates, unless pre-approved by the GTR or CAO (e.g., disaster areas, limited hotel options). Exceptions must be documented in the work plan.

Include estimated costs for travel, including number of trips. For each trip:

- Add **Number of People**,
- Add **Number of Days/Person**,
- Select an option for **Ground Transportation**, and
- Select a task(s) for **Related Tasks**.

The description for travel should include the total cost of each trip and a breakdown of the estimated costs including unit cost. In addition, include destination and point of origin if known, mode of transportation and cost estimate, meal and incidental expenses, lodging expenses, and parking expenses. Examples below:

- Airfare - \$600/flight, 4 round trip flights from California to DC Total: \$2,400
- Taxi - \$60/trip for 8 trips Total: \$480

Note for Travel-Related Expenses:

- If proposing to rent a car, you must provide justification that a vehicle is advantageous to the Government. In addition, the Recipient must use the least expensive compact car available, unless an exception for another class of vehicle is approved. You must also provide a written justification if planning to rent more than one vehicle for up to 4 persons traveling to the same destination. Recipient needs to provide this information as supporting documentation.
- Refer to the travel guidance and FAQs for tips on how to estimate travel costs.

Evaluating Performance

1. **Performance Measures** are the HUD-defined output measures. The expected quantitative measure should be made in consultation with HUD (GTM/POTAC). The performance measures listed will be based on the **Work Plan Type** selected.

2. **Learning Objectives** are statements that define the expected goal(s) of a product, curriculum, or training. Learning Objectives describe the skills or knowledge participants are expected to gain.

Learning Objectives only apply to two types of work plans: **Product Development and Training Delivery Work Plans**: Add a Learning Objective for each task that involves (1) content development for a product or curriculum or (2) delivery of training session(s) or online training(s).

Each Learning Objective should (1) identify the training delivery, product, or curriculum; (2) identify the type of grantee; (3) use a measurable verb; and (4) identify a specific programmatic goal that aligns with scope.

[TRAINING DELIVERY/PRODUCT/CURRICULUM]: The [GRANTEE] [MEASURABLE VERB] [SPECIFIC PROGRAMMATIC GOAL].

In addition, a single training should have no more than 5 Learning Objectives, unless the GTR has approved more.

HUD must be able to link the Learning Objective(s) to the specific training delivery, product, or curriculum in the work plan.

If Learning Objectives are not yet defined at the time a work plan is initially submitted in DRGR, Recipient should include the following language:

- Learning Objectives are currently being developed for this work plan.

If a Product Development work plan contains only administrative tasks, Recipient should include the following language:

- This work plan contains only administrative tasks. Therefore, it does not require Learning Objectives.

3. **Outcome** is the effect or level of achievement that occurred because of an activity or service provided. An expected outcome describes what will be different as a result of the TA. Outcomes apply to all DRGR work plan types except Administration and Coordination work plans.

Select the appropriate **Outcome Category(ies)** (3 options) and **Outcome(s)** (13 options). For each **Outcome** selection include a **Description** and, under **Associated Tasks**, associate the outcome and outcome description with specific work plan tasks or the **Entire Work Plan**.

Each task must be associated with at least 1 **Outcome** to submit the work plan to HUD.

Attachment 3 includes the 3 HUD Outcome Categories and 13 HUD standardized outcomes. 4D "Other" should only be used in rare circumstances, such as when there are multiple work plans supporting the same TA engagement. HUD program staff, the GTR, and the Recipient must agree to the use of 4D.

For **Outcome Description**, ensure outcome:

- reflects meaningful/valuable change(s) on the community/issues because of the TA provided,
- is measurable, and

- reflects near-term results, which are defined as beginning at TA completion to no longer than 90 days post-TA.

Note that the text box is limited to 4,000 characters.

Procedure for Resubmission of Work Plans

When a GTM, POTAC or GTR requests revisions to a submitted work plan, make the requested revisions and include any **revision notes** prior to sending the DRGR notification email.

POTACs/GTMs have 15 days to review and recommend approval/disapproval via DRGR, and the GTR will have an additional 15 days to review and recommend approval/disapproval. Revisions requested by GTR do not require GTM/POTAC recommendation for approval.

Procedure for Submitting Work Plan Amendments and Modifications

Only changes in **Period of Performance**, adding or deleting a task, or an increase in the original **Total Budget** of 10% or more trigger an amendment in DRGR. A Recipient can add non-key personnel or shift hours in a work plan without triggering an amendment if the **Total Budget** remains the same or is lower than the approved budget. **Total Budget** is based on the sum of all **Estimated Costs of the Tasks**.

If the Period of Performance has lapsed, all work must cease. Once a work plan has lapsed, the Recipient has 15 days to submit an amendment. Work may resume once a work plan amendment is approved. POTACs/GTMs have 15 days to review and recommend approval/disapproval of a work plan amendment, and the GTR has an additional 15 days to review and recommend approval/disapproval of the amendment. Requests submitted after 15 days may result in a need to resubmit a new work plan.

The following (not an exhaustive list) are considered modifications and do not require prior approval:

- An increase of less than 10% in the work plan's original budget (without the addition or removal of a task);
- Change in delivery of output and/or milestone
- Changes in staff not involving Key Personnel
- Changes in work plan number/name
- Minor changes to text/narrative that does not change the outcomes or outputs of the work plan or does not impact the overall service delivery approach.
- Adding a TA recipient to an On-Call Work Plan

Changes that require prior approval are included in 2 CFR part 200.407 and some are included below.

- Change in scope or approach to accomplish work plan objectives
- Change in Learning Objectives/Expected Outcomes
- Change in modality in which activities are developed or delivered
- Change of Key Personnel assigned to a HUD-approved work plan
- Removal or addition of a task
- Change in period of performance, including extension of task(s) and work plan end dates
- An increase of 10% or more in the work plan's original budget
- The sub-award, transfer, or contracting out of any work under this award, unless described in the Recipient's application or A&F documents.
- The use, development, or acquisition of software, property, or equipment
- Reopening a closed work plan to capture trailing costs or resubmit rejected invoices.

TA Award Recipients should consult with GTRs and HUD program staff on the need for a work plan period of performance extension. If all parties identify a need to continue the work under the current work plan, the Recipient must submit an amendment to extend the period of performance with enough time to allow for a 30-day review and approval by GTMs, POTACs, and GTRs. Recipients should remember to amend work plan and task periods of performance when an award is extended and the GTM and GTR agree that the work needs to be continued.

When submitting an amendment, recipients must include under the original Scope the following template language:

Amendment #__(month/day/year): This request made on (insert date) is for an amendment to work plan (insert number) for xx tasks (describe work that will be accomplished and/or the reason for the amendment). This amendment is for xx hours and a budget increase of \$, which brings the total for this work plan to \$ and xx (insert total dollars and hours as of (insert date))”

When submitting a modification, recipients must include under the original Scope the following template language:

Modification #__(month/day/year): Modification does not require GTR or program office review. The modification includes changes to _____.

Attachment 1: Community Compass Eligible Activities

Community Compass eligible activities for each fiscal year are described in the NOFO. Links to NOFOs below.

- FY 2014: https://www.hud.gov/program_offices/administration/grants/fundsavail/nofa14/hccta
- FY 2015: https://www.hud.gov/program_offices/administration/grants/fundsavail/nofa2015/cctacb
- FY 2016: https://www.hud.gov/program_offices/administration/grants/fundsavail/nofa16/cctacb
- FY 2017: https://www.hud.gov/program_offices/spm/gmomgmt/grantsinfo/fundingopps/fy17cctanofaNOFO
- FY 2018-19: https://www.hud.gov/program_offices/spm/gmomgmt/grantsinfo/fundingopps/fy18ccta&cbp
- FY 2021-2021: https://www.hud.gov/program_offices/spm/gmomgmt/grantsinfo/fundingopps/fy20_ccta

Attachment 2: What Is & Isn't TA?

TA enables HUD's customers to overcome a lack of specific skills or knowledge of HUD programs by:

- Offering knowledge, skills, tools, and systems to address gaps and navigate complex challenges.
- Equipping them to launch, implement, and successfully administer programs.
- Results in the successful performance of and compliance with those programs.

TA ***must have*** a direct benefit to HUD Customers:

Direct Benefit	Not a Benefit
<div><div>✓</div>Only for HUD Customer or Grantee (NOT HUD)</div> <div><div>✓</div>Increasing understanding</div> <div><div>✓</div>Providing tool to help navigate/simplify</div> <div><div>✓</div>Supporting direct grantee program implementation</div>	<div><div>×</div>Helping HUD collect data from grantees with no feedback loop</div> <div><div>×</div>Hosting listening sessions to inform policy</div> <div><div>×</div>Messaging for HUD</div> <div><div>×</div>Coordinating logistics ONLY for HUD delivering training and events</div>

In addition to having a direct benefit to HUD Customers, the TA ***must*** build capacity:

Capacity Building	Not Capacity Building
<div><div>✓</div>Transfer knowledge and/or skills</div> <div><div>✓</div>Address root cause issues</div> <div><div>✓</div>Ensure changes sustained over time</div> <div><div>✓</div>Results in stronger entity</div>	<div><div>×</div>Writing policies and procedures</div> <div><div>×</div>Creating action plan</div> <div><div>×</div>Collecting data for HUD with no feedback loop</div>

Attachment 3: HUD Outcome Categories

HUD Outcome Category #1: Improved capacity to develop plans and priorities informed by community needs and program/policy goals.

- **1A: Improved capacity to collect, analyze, and share data** (e.g., improved data on populations served, program results or impacts, or community conditions)
- **1B: Improved capacity to gather and use resident and community input** (e.g., implemented new strategies for identifying needs, for determining priorities and developing plans, or for measuring results of actions taken)
- **1C: Improved capacity to develop high-quality, compliant plans that identify clear priorities and accurately reflect community needs and input** (e.g., improved PHA Plans, Consolidated Plans, Indian Housing Plans)
- **1D: Improved coordination and alignment with other community or regional plans** (e.g., HUD plans aligned with plans of other HUD or federal programs, local and regional government agencies, service providers, or nonprofit organizations)

HUD Outcome Category #2: Improved capacity to design strategies that align with plans and priorities.

- **2A: Improved capacity to select programmatic strategies that address program or policy goals and community needs** (e.g., determined which eligible activities could most effectively address needs)
- **2B: Improved capacity to design system-wide strategies that address community needs** (e.g., designed innovative multi-disciplinary strategies, designed coordinated place-based development to leverage neighborhood impacts)
- **2C: Improved capacity to design effective partnerships or cross-jurisdictional relationships that address community needs** (e.g., developed a framework for collaboration, established new or innovative partnerships, developed governance charters or memoranda of understanding)
- **2D: Improved alignment of resources with program-, system- or community-wide goals** (e.g., developed an investment plan to support a system-wide strategy, developed resource allocation processes to improve targeting of resources to plan goals)

HUD Outcome Category #3: Improved capacity to deliver projects, programs or systems that address community needs

- **3A: Improved staffing or organizational structure** (e.g., revised job descriptions to reflect skills required to implement program, merged departments to achieve greater efficiency or alignment)
- **3B: Improved administrative processes or infrastructure** (e.g., improved cost and participant eligibility verification procedures, instituted new policies and procedures to improve consistency of operations or decision-making, streamlined process steps that reduce application processing times, established new systems for monitoring conditions of assets or obligating funds, implemented new sub-Recipient risk assessment and monitoring protocols)
- **3C: Improved financial management systems, controls, oversight to conform with 2 CFR Part 200 (OMB Omni Circular) and generally accepted accounting principles** (e.g., completed A-133 or other financial audits, closed A-133 or other financial audit findings, implemented internal controls, demonstrated adequate Quick Ratio)
- **3D: Improved program, grant, and regulatory compliance** (e.g., improved staff understanding of regulations, improved quality or timeliness of reporting, resolved audit or monitoring findings)
- **3E: Improved capacity to substantively change the ways partners interact or conduct their work in order to address community needs** (e.g., implemented innovative multi-agency strategies, implemented coordinated place-based development to align resources from various funders to yield more substantial results, implemented coordinated entry process to improve targeting and access to homeless assistance)

Not Applicable HUD Outcome Category

- 4A: Task is related to work plan development or management of work
- 4B: Task is related to coordination
- 4C: Task is related to closeout
- 4D: Other